
REFUGEE ASSISTANCE PROGRAM MANUAL

REFUGEE ASSISTANCE MONITORING

CHAPTER V - REFUGEE ASSISTANCE MONITORING

CHANGE #1-2016

DECEMBER 1, 2016

I. CASH ASSISTANCE

A. INTRODUCTION

To help ensure the integrity of the Refugee Cash Assistance Program, a formal monitoring process has been developed. This process will address the significant eligibility criteria needed to ensure appropriate and adequate assistance/services. A standardized monitoring tool will be used. Mandatory monitoring will be every other year for counties with an error rate of 5% or less. However, the NC State Refugee Office reserves the right to require monitoring more frequently should any significant problems arise in those counties in the off year. Local departments with the largest number of RCA cases will be monitored by the NC State Refugee Office; a select number of counties with smaller caseloads will self-monitor with the monitoring tool in this Chapter and submit results to the Refugee Office.

B. SAMPLE

The State Refugee Office will monitor on-site those local departments of social services with the largest RCA cases in the prior SFY. A sample size of not less than 15 will be selected for review from a three month period. The monitoring sample size will depend on the size of the county, previous performance, and other factors identified by the Refugee Office. In no instance will the sample size for these counties be less than 15 per year, unless the total number of recipients falls under that number, nor more than 35.

In all other counties which had at least one RCA recipient, the sample size of no less than one and no more than 10 records will be randomly selected by the NC State Refugee Office for county self-monitoring.

C. PROCESS

Cash Assistance cases will be selected for review from the monthly REFUGEE CASES AND RECIPIENTS BY PROGRAM report prepared by the Planning and Information Section within the NC Division of Social Services. The NC State Refugee Office will monitor the refugee cash assistance cases in one of two ways:

1. *The first method will involve local DSS staff completing the monitoring instrument.*

a. The NC State Refugee Consultant for Program Benefits will conduct an onsite visit to the local department of social services. In this situation, the Refugee Consultant will directly review the case files and view verifications onsite.

b. Within 45 days after notification of the selected cases, a county supervisor or lead worker will complete the monitoring tool for each case and photocopy appropriate documentation to support the findings, i.e. alien status documents, NCFast printouts, wage verification, etc.

c. Upon completion of the monitoring tool, the county will send each completed form with appropriate supporting documentation to the NC State Refugee Office.

d. The NC State Refugee Consultant for Program Benefits will analyze the monitoring results from the counties. If there are findings of non-compliance, a report with the findings will be prepared and mailed to the respective county.

REFUGEE ASSISTANCE PROGRAM MANUAL

REFUGEE ASSISTANCE MONITORING

e. Within 60 days of receipt of the monitoring report, the county must prepare a corrective action plan and submit it to the NC State Refugee Consultant for Program Benefits who will later verify that such corrective action was implemented by the county.

2. *The second method for monitoring will involve onsite monitoring by the NC State Refugee Office.*

a. The NC State Refugee Consultant for Program Benefits will conduct an onsite visit to the local department of social services. In this situation, the Refugee Consultant will directly review the case files and view verifications onsite.

b. Findings will be noted within the comment section of the monitoring forms along with the method of verification. Significant findings will be communicated both verbally at the end of visit and later in writing via a written monitoring report.

c. If a particular county is found to have areas of non-compliance, a corrective action plan is required and must be submitted to the State Refugee Office within 60 days. The NC State Refugee Consultant for Program Benefits will later verify that required corrective action was implemented.

3. *Annual Summary*

An annual RCA monitoring report will be produced noting statewide results.

Monitoring forms, related verification information, compliance findings, corrective action plans/follow-up and related correspondence will be maintained in the NC Refugee Program Office located at 820 South Boylan Avenue, Raleigh, NC. Such records will be maintained according to the state's record retention policy.

4. *Instructions for RCA Monitoring*

a. Complete the *RCA Monitoring Guide*.

Answer all questions fully. If *Not Applicable* (NA), give reason.

#3 – The first countable month is the month of arrival, or for asylees, the month asylum was granted. For instance, a refugee's Date of Arrival is March 12 and he applies for RCA on April 20. March is the first month and the eighth month is October.

#9 – If a refugee agency is providing Employment Services, there should be verification, such as a statement from the refugee case manager or a copy of the DSS-5022, *Refugee Work Registration Certification, Employment/Refusal and Termination/Denial Notice*, in the record. If a refugee provider does not serve the area, copies of the *Mutual Responsibility Agreement (MRA)*, *Individualized Employability Plan* and *Family Self-Sufficiency Plan* as completed by the county should be in the record.

REFUGEE ASSISTANCE PROGRAM MANUAL
REFUGEE ASSISTANCE MONITORING

- b. Copy of alien status verification. (I-94, EAD, Asylum Letter, etc.)
- c. Copy of any income, resource and/or Employment Services verification.
- d. NCFAST printout showing Application Date, Date of Approval or Date of Denial and reason, payment history, household composition and any other pertinent data.
- e. NCFAST printout showing Application Date for Food Stamp Program, Date of Approval or Date of Denial and reason, household composition, payment history, and any other pertinent data.
- f. Send each completed form with appropriate supporting documentation to:

NC DHHS/DSS/Refugee Assistance Program

ATTN: Clarissa Gunter

Dorothea Dix Campus – Hargrove Building

820 South Boylan Avenue

2405 MSC

Raleigh, NC 27699-2405

II. REFUGEE SOCIAL SERVICES

A. Introduction

To help ensure the integrity of the Refugee Assistance social services programs, refugee service providers are subject to monitoring conducted by State Refugee Office (SRO) staff to address fiscal, administrative and programmatic contract compliance.

The NC State Refugee Office (SRO) has instituted a number of strategies to measure performance continuously among refugee service providers. Overall success is measured based on achievement along performance indicators at periodic intervals. A system of weekly, monthly, trimester, semi-annual and annual benchmarks help the SRO to track and monitor performance.

The statewide integrated Refugee Information System (RIS) allows for data input of all services and activities received by clients. Service providers and the SRO use this system to monitor the performance of their efforts.

B. Sample

SRO staff monitors the appropriate use of the RIS system by **each** service provider who input and export data weekly. Also, SRO staff performs desktop monitoring reviews monthly to ensure steady progress towards achieving semi-annual, trimester and annual goals. These monthly reviews include financial assessments to determine appropriate spending patterns.

C. Onsite Monitoring Process

Onsite monitoring visits are conducted periodically with service providers. The State Refugee Office and service provider determine a mutually agreeable time for the onsite visit to occur. The monitoring visit will include an administrative review, client record reviews, limited fiscal review, observation of service delivery, interviews with key personnel, clients and community partners such as employers.

REFUGEE ASSISTANCE PROGRAM MANUAL

REFUGEE ASSISTANCE MONITORING

The monitoring sample will consist of refugee client files randomly selected with allowances for duplication and/or programmatic coverage. Sample size depends on the amount of the contract and the number of clients served in the sample month reviewed. Each client file in the sample will be reviewed to ensure inclusion of applicable required documentation.

Significant findings will be communicated both verbally at the time of an exit interview and in writing within 30 days after the monitoring visit. If the findings require a refugee service provider to implement corrective action, it must be submitted to the State Refugee Office within 30 days after receipt of the report. SRO staff will follow up after submission of the Corrective Action Plan to verify that corrective action has been implemented.

Monitoring forms, related verification information, compliance findings, corrective action plans, follow-up documentation and related correspondence will be maintained in the NC Refugee Program Office located in the Dorothea Dix Campus, 820 South Boylan Avenue, Raleigh, NC. Such records will be maintained according to the state's record retention policy.